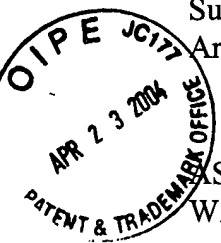


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## TRANSMITTAL LETTER

ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

RE: Attorney Docket No.: X2YA0013U-US  
Application Serial No.: 10/766,000  
Filed: 1/29/2004  
Title: Shielded Energy Conditioner  
Inventor: ANTHONY et al.  
Group Art Unit: Unknown  
Examiner: Unknown

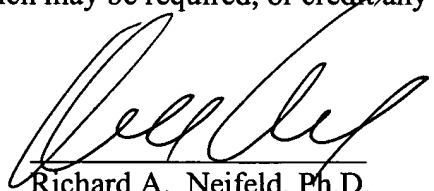
SIR:

Attached hereto for filing are the following papers:

1. 37 CFR 1.97 Information Disclosure Statement
2. 37 CFR 1.98 Content of Information Disclosure Statement
3. List of References Cited by Applicant
4. CD Containing Copies of Every Reference Listed in Attached Reference Citation List; and Copies of Reference Citation Lists numbered 1-108 of record in various priority applications
5. Copy of 37 CFR 1.183 Petition to File a Reduced Set of References (Regarding References cited as F-001 to F-072 and O-001 to O-082) Filed on 4/22/2004 in Application Serial No: 10/237,079, Neifeld Docket No: X2YA0010U/US
6. Copy of Date-Stamped Filing Receipt from 37 CFR 1.183 Petition to File a Reduced Set of References (Regarding References cited as F-001 to F-072 and O-001 to O-082) Filed on 4/22/2004 in Application Serial No: 10/237,079, Neifeld Docket No: X2YA0010U/US

Our check in the amount of \$0.00 is attached covering the required fees. The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account Number 50-2106.

4/22/04  
Date

  
Richard A. Neifeld, Ph.D.  
Registration No. 35,299  
Attorney of Record

31518  
PATENT TRADEMARK OFFICE

Docket No. X2YA0013U-US



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: ANTHONY et al.

US APP. NO: 10/766,000

GAU: Unknown

FILED: 1/29/2004

EXAMINER: Unknown

FOR: Shielded Energy Conditioner

**INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97**

ASSISTANT COMMISSIONER FOR PATENTS  
ALEXANDRIA, VA 22313

SIR:

Applicant(s) wish to disclose the following information.

**REFERENCES**

- ☒ The applicant(s) wish to make of record the references listed on the attached reference citation list. Copies of the listed references are being submitted herewith or, were submitted in the parent or grandparent application, where required, as were either statements of relevancy or any readily available English translations of pertinent portions of any non-English language references, or cited by the examiner. US Patent Publications are being submitted electronically prior to or on the day this paper is filed.
- ☐ A check is attached in the amount required under 37 CFR §1.17(p).

**RELATED CASES**

- ☐ Attached is a list of applicant's pending application(s) or issued patent(s) which may be related to the present application. A copy of the patent(s), including its specification and claims is attached along with PTO 1449.
- ☐ A check is attached in the amount required under 37 CFR §1.17(p).

**CERTIFICATION**

- ☐ Each item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- ☐ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.

**PETITION**

- ☐ Applicant(s) hereby request consideration of the attached information. A check is attached in the amount of the Petition fee required under 37 CFR §1.17(i)(1).

**DEPOSIT ACCOUNT**

- ☒ Please charge any additional fees for the papers being filed herewith and for which no check is enclosed herewith, or credit any overpayment to deposit account number 50-2106. A duplicate copy of this sheet is enclosed.

31518

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4/22/04

Date

Respectfully submitted,

Richard A. Neifeld  
Registration No. 35,299



NEIFELD DOCKET NO.: X2YA0013U-US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: David ANTHONY et al.

: **GROUP:** Unknown

**SERIAL NUMBER:** 10/766,000

: **EXAMINER:** Unknown

**FILED:** 1/29/2004

**TITLE:** Shielded Energy Conditioner

37 CFR 1.98 Content of Information Disclosure Statement

## I. INTRODUCTION

37 CFR 1.98 reads as follows:

§ 1.98 Content of information disclosure statement.

(a) Any information disclosure statement filed under § 1.97 shall include:

(1) A list of all patents, publications, applications, or other information submitted for consideration by the Office;

(2) A legible copy of:

(i) Each U.S. patent application publication and U.S. and foreign patent;

(ii) Each publication or that portion which caused it to be listed;

(iii) For each cited pending U.S. application, the application specification including the claims, and any drawing of the application, or that portion of the application which caused it to be listed including any claims directed to that portion; and

(iv) All other information or that portion which caused it to be listed; and

(3)(i) A concise explanation of the relevance, as it is presently understood by the individual designated in § 1.56(c) most knowledgeable about the content of the information, of each patent, publication, or other information listed that is not in the English language. The concise explanation may be either separate from applicant's specification or incorporated therein.

(ii) A copy of the translation if a written English-language translation of a non-English-language document, or portion thereof, is within the possession, custody, or control of, or is readily available to any individual designated in § 1.56(c).

(b)(1) Each U.S. patent listed in an information disclosure statement must be identified by inventor, patent number, and issue date.

(2) Each U.S. patent application publication listed in an information disclosure statement shall be identified by applicant, patent application publication number, and publication date.

(3) Each U.S. application listed in an information disclosure statement must be identified by the inventor, application number, and filing date.

(4) Each foreign patent or published foreign patent application listed in an information disclosure statement must be identified by the country or patent office which issued the patent or published the application, an appropriate document number, and the publication date indicated on the patent or published application.

(5) Each publication listed in an information disclosure statement must be identified by publisher, author (if any), title, relevant pages of the publication, date, and place of publication.

(c) When the disclosures of two or more patents or publications listed in an information disclosure statement are substantively cumulative, a copy of one of the patents or publications may be submitted with-out copies of the other patents or publications, provided that it is stated that these other patents or publications are cumulative.

(d) A copy of any patent, publication, pending U.S. application or other information, as specified in paragraph (a) of this section, listed in an information disclosure statement is required to be provided, even if the patent, publication, pending U.S. application or other information was previously submitted to, or cited by, the Office in an earlier application, unless:

(1) The earlier application is properly identified in the information disclosure statement and is relied on for an earlier effective filing date under 35 U.S.C. 120; and

(2) The information disclosure statement submitted in the earlier application complies with paragraphs (a) through (c) of this section. [42 FR 5594, Jan. 28, 1977; para. (a) 48 FR 2712, Jan. 20, 1983, effective date Feb. 27, 1983; 57 FR 2021, Jan. 17, 1992, effective Mar. 16, 1992; revised, 65 FR 54604, Sept. 8, 2000, effective Nov. 7, 2000; paras. (a)(2) and (b) revised, 65 FR 57024, Sept. 20, 2000, effective Nov. 29, 2000]

## II. SHOWING OF COMPLIANCE WITH 37 CFR 1.98

The attached IDS complies with rule 1.98 because:

It complies with section (a)(1) by including a list of all patents, publications, applications, or other information submitted for consideration by the Office. *See the reference citation list contained in the IDS filed herewith.*

It complies with section(a)(2) because it contains a legible paper or electronic copy of: (i) Each U.S. patent application publication and U.S. and foreign patent; (ii) Each publication or that portion which caused it to be listed; and (iii) For each cited pending U.S. application, it includes the application specification including the claims, and any drawing of the application, or that portion of the application which caused it to be listed including any claims directed to that portion; and (iv) for all other information which caused it to be listed.

It complies with (a)(3)(i) a concise explanation of the relevance, as it is presently understood by the individual designated in § 1.56(c) most knowledgeable about the content of the information, of each patent, publication, or other information listed **that is not in the English language**. The concise explanation may be either separate from applicant's specification or incorporated therein. Specifically, the IDS includes translations of abstracts and/or the entire contents of certain ones of the non English language patent publications, and the translations are the concise statement.

It complies with (a)(3)(ii) because it includes a copy of the translation if a written English-language translation of a non-English-language document, or portion thereof, is within the possession, custody, or control of, or is readily available to any individual designated in § 1.56(c). The correspondence between non-English patent publications, English translations of abstracts, and full English translations of publications, if any, appears in the chart that begins on the following page.

<b>Non-English Publication Neifeld IDS Reference</b>	<b>English Translation of Abstract Neifeld IDS Reference</b>	<b>Full English Translation of Publications Neifeld IDS Reference</b>
F-001		O-060
F-004	F-070	
F-005		
F-006	F-071	
F-007	O-061	
F-008	O-062	
F-009	O-063	
F-010	O-064	O-065
F-011	O-066	
F-012	O-067	O-068
F-013	O-069	
F-014	O-070	O-071
F-015	O-072	
F-016	O-073	O-074
F-017	O-075	
F-018	O-076	
F-019	O-077	
F-020	O-078	
F-021	O-079	
F-023	O-080	

F-024	F-030	O-081
F-035		F-072
F-051		
F-052	F-066	
F-053	F-067	
F-055	F-068	
F-056	F-069	
F-059	O-082	
F-060		

It complies with (b)(1) because it identifies each U.S. patent listed in the IDS by inventor, patent number, and issue date.

It complies with (b)(2) because it identifies each U.S. patent application publication listed in the IDS by applicant, patent application publication number, and publication date.

It complies with (b)(3) because it identifies each U.S. application listed in an information disclosure statement by the inventor, application number, and filing date.

It complies with (b)(4) because it identifies each foreign patent or published foreign patent application listed in the IDS by the country or patent office which issued the patent or published the application, an appropriate document number, and the publication date indicated on the patent or published application.

It complies with (b)(5) because it identifies each non-patent publication listed in the IDS by publisher, author (if any), title, relevant pages of the publication, date, and place of publication.

It complies with (c) by making no statement.

It complies with (d) by including a copy of any patent, publication, pending U.S. application or other information, as specified in paragraph (a) of this section, listed in the IDS, unless the cited patent, publication, pending U.S. application or other information was previously submitted to, or cited by, the Office in an earlier application and (1) The earlier application is properly identified in the IDS and is relied on for an earlier effective filing date under 35 U.S.C. 120; and (2) The IDS submitted in the earlier application complies with



paragraphs (a) through (c) of this section.

A CD containing image copies of all of the references noted in the attached reference citation list is being filed herewith for the examiner's convenience.

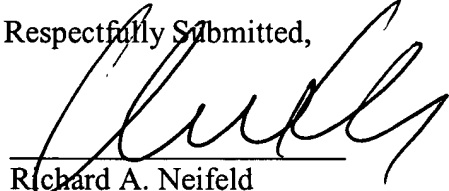
31518

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Respectfully Submitted,

  
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<b>NEIFELD IP LAW</b> <b>REFERENCE FORM</b> <b>LIST OF REFERENCES CITED</b> <b>BY THE APPLICANT</b> <b>(Rev: 5/14/2003)</b>	NEIFELD REF: X2YA0013U-US	APPLICATION NO: 10/766,000
	FIRST NAMED INVENTOR: David ANTHONY	
	FILING DATE: 1/29/2004	GROUP ART UNIT: Unknown

Examiner Initials	Ref_Cite	Pub_Date	Pub_No	Inv_Name	Ref_Coun try	Ref_Title	"Of Record" Indicates Reference Cited in this, or a Priority Case
	F-001	3/2/2000	DE 198 57 043 C1	Reindl et al.	Germany		
	F-002	7/26/2000	EP102275 1	Yoshida et al.	Europe		
	F-003	8/2/2000	EP102450 7	Yoshida et al.	Europe		
	F-004	12/20/200 0	EP106153 05	Andrew et al.	Europe		
	F-005	10/11/200 1	FR-2808135	De Daran et al.	France		
	F-006	11/1/1990	JP-02-267879	Tomoyuki	Japan		
	F-007	1/25/1991	JP-03-018112	Sakamoto	Japan		
	F-008	2/25/1994	JP-06-053048	Akira et al.	Japan		
	F-009	2/25/1994	JP-06-053049	Akira et al.	Japan		
	F-010	2/25/1994	JP-06-053075	Baakusu	Japan		
	F-011	2/25/1994	JP-06-053077	Masaru et al.	Japan		
	F-012	2/25/1994	JP-06-053078	Shimura et al.	Japan		
	F-013	3/25/1994	JP-06-084695	Akira et al.	Japan		
	F-014	5/31/1994	JP-06-151014	Ikematsu et al.	Japan		
	F-015	5/31/1994	JP-06-151244	Masaru et al.	Japan		
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	F-018	9/5/1995	JP-07-235406	Akira	Japan		
	F-019	9/5/1995	JP-07-235852	Akira	Japan		
	F-020	9/12/1995	JP-07-240651	Akira	Japan		
	F-021	5/17/1996	JP-08-124795	Akira	Japan		
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	F-025	8/17/1999	JP-11-223396		Japan		
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	F-027	11/5/1999	JP-11-305302		Japan		
	F-028	11/24/1999	JP-11-9319222		Japan		
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	F-031	10/15/1998	WO 98/45921	Anthony	WO		
	F-032	4/22/1999	WO 99/19982	Goldberger et al.	WO		
	F-033	7/22/1999	WO 99/37008	Anthony	WO		
	F-034	10/14/1999	WO 99/52210	Anthony	WO		
	F-035	3/23/2000	WO 00/16446	Belau et al.	WO		
	F-036	11/2/2000	WO 00/65740	Anthony	WO		
	F-037	12/7/2000	WO 00/74197	Anthony et al.	WO		
	F-038	12/21/2000	WO 00/77907	Anthony	WO		
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	F-043	9/27/2001	WO 01/71908	Anthony et al.	WO		
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	F-049	4/4/2002	WO 02/122779 4	Li et al.	WO		
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	F-057	1/7/1999	DE 197 28 692 A1	Pape	Germany		
	F-058	1/30/1989	JP 1- 27251	Koji	Japan		
	F-059	11/11/1997	JP 9- 294041		Japan		
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	F-061	1/16/2003	WO 03/005541	Anthony et al.	WO		

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	F-063	4/25/2002	WO 02/33798	Anthony	WO		
	F-064	10/10/2002	WO 02/080330	Anthony et al.	WO		
	F-065	10/3/1991	WO 91/15046	Anthony	WO		
	F-066	10/1/1997	JP-09- 284077	Makoto et al.	Japan	Patent Abstracts of Japan	
	F-067	10/31/1997	JP-09- 284078	Makoto et al.	Japan	Patent Abstracts of Japan	
	F-068	12/31/1998	FR- 82765417	Yun Tae	France	Abstract from esp@cen et Database	
	F-069	11/7/1988	JP-63- 269509	Hironori	Japan	Patent Abstracts of Japan	
	F-070	12/20/2000	EP106153 05	Andrew et al.	Europe	Abstract from esp@cen et Database	
	F-071	11/1/1990	JP-02- 267879	Tomoyuki	Japan	Patent Abstracts of Japan	
	F-072	3/23/2000	WO 00/16446	Belau et al.	WO	German Version of WO Publication	
	O-001	10/1/2002				PCT International Search Report for PCT/US01/48861	

	O-002	1/2/2003				PCT Internation al Search Report for PCT/US0 1/44681	
	O-003	1/1/1994				GREB, "An Intuitive Approach to EM Fields," EMC Test & Design, January 1991, pages. 30- 33.	
	O-004	12/1/1993				GREB, "An Intuitive Approach to EM Coupling," EMC Test & Design, December 1993, pages 20- 25.	

	O-005	6/1/1986				SAKAMO TO, "Noisepro of Power Supplies: What's Important in EMI Removal Filters?" JEE, June 1986, pages 80- 85.	
	O-006	1/1/1999				MONTRO SE, "Analysis on Loop Area Trace Radiated Emissions from Decouplin g Capacitor Placement on Printed Circuit Boards," IEEE, 1999, pages 423-428	

	O-007	1/1/1999				MIYOSHI, "Surface Mounted Distribute d Constant Type Noise Filter," IEEE, 1999, pages 157-160.	
	O-008	1/1/1999				SHIGETA et al., "Improved EMI Performan ce by Use of a Three- Terminal- Capacitor Applied to an IC Power Line," IEEE, 1999, pages 161-164.	
	O-009	7/19/1999				PCT Internation al Search Report for PCT/US9 9/07653	
	O-010	10/13/1999				IPER for PCT/US9 9/07653	



	O-011					US Appl. No 10/479,506, Claims 1-46 from Preliminary Amendment filed December 10, 2003	
	O-012					US Appl. No 10/189,339, Claims 1-41 from Preliminary Amendment filed October 28, 2003	
	O-013					US Appl. No 10/443,792, Claims 1-41 from Preliminary Amendment filed October 28, 2003	
	O-014	8/19/1998				PCT International Search Report for PCT/US98/06962	

	O-015	4/19/1999				PCT Internation al Search Report for PCT/US9 9/01040	
	O-016	9/18/2000				PCT Internation al Search Report for PCT/US0 0/11409	
	O-017	9/13/2000				PCT Internation al Search Report for PCT/US0 0/14626	
	O-018	11/8/2000				PCT Internation al Search Report for PCT/US0 0/16518	
	O-019	12/28/2000				PCT Internation al Search Report for PCT/US0 0/21178	

	O-020					FANG et al., "Conductive Polymers Prolong Circuit Life," Design News, date unknown, 3 pages.	
	O-021	9/1/1996				CARPENTER, Jr. et al., "A New Approach to TVSS Design," Power Quality Assurance, September/October 1996 p. 60-63.	
	O-022	1/1/1996				RAYCHEM, "Polyswitch Resettable Fuses," Circuit Protection Databook, January, 1996, pages 11-18.	

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	O-024	6/13/2001				PCT International Search Report for PCT/US01/09185	
	O-025	7/1/2000				POLKA et al., "Package-Level Interconnect Design for Optimum Electrical Performance," Intel Technology Journal Q3, 2000, pp. 1-17.	
	O-026	5/10/2002				PCT International Search Report for PCT/US01/43418	
	O-027	3/13/2002				PCT International Search Report for PCT/US01/32480	

	O-028	8/19/2002				PCT Internation al Search Report for PCT/US0 2/10302	
	O-029	2/28/2003				PCT Internation al Search Report for PCT/US0 2/21238	
	O-030	3/18/2002				PCT Internation al Search Report for PCT/US0 1/13911	
	O-031	7/16/1991				PCT Internation al Search Report for PCT/US9 1/02150	
	O-032	6/28/2001				PCT Internation al Search Report for PCT/US0 1/03792	

	O-033	12/16/1998				"Johanson Dielectrics, Inc. Licenses X2Y Circuit Conditioning Technology," Press Release, December 16, 1998, 1 page.	
	O-034	3/1/1997				BEYNE et al., "PSGA - an innovative IC package for single and multichip designs," Components, March 1997, pages 6-9.	
	O-035	9/15/1997				"EMC Design for Brush Commutated DC Electric Motors," September 15, 1997, pages 1-2.	

	O-036	4/1/1996				"Tomorro w's Capacitor s," Compone nts, 1996, No. 4, page 3.	
	O-037	3/30/1998				MASON, "Valor - Understan ding Common Mode Noise," March 30, 1998, pages 1-7.	
	O-038			Anthony Anthony et al.		Pending specificati on, claims, figures for US Appl. No 10/237,07 9, Claims 21-81; filed 9/9/2002	
	O-039			David Anthony et al.		Pending specificati on, claims, figures for US Appl. No 10/766,00 0, Claims 1-63; filed 1/29/2004	

	O-040			William Anthony		Pending specificati on, claims, figures for US Appl. No 10/399,63 0, Claims 1-35; filed 8/27/2003	
	O-041			Anthony Anthony et al.		Pending specificati on, claims, figures for US Appl. No 10/432,84 0, Claims 1-39; filed 5/28/2003	
	O-042			William Anthony		Pending specificati on, claims, figures for US Appl. No 10/443,48 2, Claims 1-25; filed 6/12/2003	
	O-043			Anthony Anthony et al.		Pending specificati on, claims, figures for US Appl. No 10/435,19 9, Claims 1-32; filed 5/12/2003	



	O-044			Anthony Anthony et al.		Pending specificati on, claims, figures for US Appl. No 10/115,15 9, Claims 1-31; filed 4/2/2002	
	O-045			Anthony Anthony et al.		Pending specificati on, claims, figures for US Appl. No 10/189,33 8, Claims 1-69; filed 7/2/2002	
	O-046			Anthony Anthony et al.		Pending specificati on, claims, figures for US Appl. No 10/189,33 9, Claims 1-41; filed 7/2/2002	
	O-047			Anthony Anthony et al.		Pending specificati on, claims, figures for US Appl. No 10/479,50 6, Claims 1-46; filed 12/10/200 3	

	O-048			Anthony Anthony		Pending specificati on, claims, figures for US Appl. No 10/443,76 4, Claims 26-40; filed 9/16/2003	
	O-049			Anthony Anthony		Pending specificati on, claims, figures for US Appl. No 10/443,79 2, Claims 1-41; 5/23/2003	
	O-050			Anthony Anthony		Pending specificati on, claims, figures for US Appl. No 10/443,78 8, Claims 1; 21-45; filed 5/23/03	
	O-051			Anthony Anthony et al.		Pending specificati on, claims, figures for US Appl. No 10/443,77 8, Claims 1; 21-59; filed 5/23/2003	

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